

02-05-02

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PTO/SB/05 (08-00)

Approved for use through 10/31/2002. OMB 0651-0032

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Application Number	Not yet assigned
First Inventor	Richard N. Ellson
Title	ACOUSTIC SAMPLE INTRODUCTION FOR ANALYSIS AND/OR PROCESSING
Attorney Docket Number	7610-0042.20

J1131 U.S. PTO  
10/066546  
01/30/02

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

- |  |   |
|--|---|
| <ol style="list-style-type: none"> <li>1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17)<br/>(Submit an original and a duplicate for fee processing)</li> <li>2. <input checked="" type="checkbox"/> Applicant claims small entity status.<br/>See 37 CFR 1.27.</li> <li>3. <input checked="" type="checkbox"/> Specification [Total Pages <u>67 + Cover Sheet</u>]<br/>(preferred arrangement set forth below) <ul style="list-style-type: none"> <li>- Descriptive title of the invention</li> <li>- Cross Reference to Related Applications</li> <li>- Statement Regarding Fed sponsored R &amp; D</li> <li>- Reference to sequence listing, a table, or a computer program listing appendix</li> <li>- Background of the Invention</li> <li>- Brief Summary of the Invention</li> <li>- Brief Description of the Drawings (if filed)</li> <li>- Detailed Description</li> <li>- Claim(s)</li> <li>- Abstract of the Disclosure</li> </ul> </li> <li>4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets <u>4</u>]</li> <li>5. <input checked="" type="checkbox"/> Oath or Declaration [Total Pages <u>4</u>] (unexecuted) <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> Newly executed (original or copy)</li> <li>b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d))<br/>(for continuation/divisional with Box 17 completed) <ol style="list-style-type: none"> <li>i. <input type="checkbox"/> <u>DELETION OF INVENTOR(S)</u><br/>Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</li> </ol> </li> </ol> </li> <li>6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76</li> </ol> | <ol style="list-style-type: none"> <li>7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)</li> <li>8. Nucleotide and/or Amino Acid Sequence Submission (if applicable) <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> Computer Readable Form (CRF)</li> <li>b. Specification Sequence Listing on: <ol style="list-style-type: none"> <li>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or</li> <li>ii. <input type="checkbox"/> paper</li> </ol> </li> <li>c. <input type="checkbox"/> Statements verifying identity of above copies</li> </ol> </li> </ol> |
|--|---|

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure ☐ Copies of IDS  
Statement (IDS)/PTO-1449 Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Other: \_\_\_\_\_

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

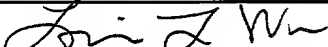
☒ Continuation-in-part (CIP) of prior application No.: 09/784,705, filed February 14, 2001

Prior application information: Examiner: Unassigned

Group / Art Unit: 2878

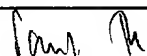
**For CONTINUATION OR DIVISIONAL APPS only:** The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**18. CORRESPONDENCE ADDRESS**

<input checked="" type="checkbox"/> Customer Number of Bar Code Label		<div style="text-align: center; border: 1px solid black; padding: 5px;"> <b>23980</b>  <small>(Insert Customer No. or Attach bar code label here)</small> </div>		<input type="checkbox"/> Correspondence address below	
Name	Louis L. Wu				
Address	REED & ASSOCIATES				
	800 Menlo Avenue, Suite 210				
City	Menlo Park	State	CA	Zip Code	94025
Country	USA	Telephone	(650) 330-0900	Fax	(650) 330-0980
Name (Print/Type)	Louis L. Wu		Registration No. (Attorney/Agent)	44,413	
Signature			Date	1/30/2002	

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commission for Patents, Box Patent Application, Washington, DC 20231.

**CERTIFICATE OF MAILING OR TRANSMISSION**

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR § 1.10 on the date indicated below and is addressed to "Commissioner for Patents, Box Patent Application, Washington, DC 20231."			
"Express Mail" Mailing Label No.	EL 910 311 262 US	Date of Deposit	January 30, 2002
Name of Person Mailing Paper or Fee(Print/Type)	Sam Pen		
Signature		Date	01-30-02

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(Modified) PTO/SB/05 (12/97)

"Express Mail" Mailing Label No.: **EL 910 311 262 US**

Date of Deposit: **January 30, 2002**

Type/Printed Name of Person Mailing Paper or Fee: **Sam Pen**

Signature of Person Mailing Paper or Fee: 

## FEE TRANSMITTAL

*Note: Effective October 1, 1997.  
 Patent fees are subject to annual revision.*

**TOTAL AMOUNT OF PAYMENT** \$2,017.00

### Complete if Known

Application Number	Not yet assigned
Filing Date	Filed Herewith
First Named Inventor	Richard N. Ellison
Group Art Unit	Not Assigned Yet
Examiner Name	Not Assigned Yet
Attorney Docket Number	7610-0042.20

### METHOD OF PAYMENT (check one)

1. ☐ The commissioner is hereby authorized to charge any additional fees and credit any overpayments to:  
 Deposit Account No.:  
 Deposit Account Name: REED & ASSOCIATES

☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 ☐ Charge the Issue Fee set in 37 CFR 1.18 at the mailing of the Notice of Allowance

2. ☐ Payment Enclosed:  
☐ Check ☐ Money Order ☐ Other

### FEE CALCULATION

#### 1. FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Due
101	740	201	370	Utility filing fee	\$370.00
102	330	206	165	Design filing fee	
104	510	207	255	Plant filing fee	
109	740	208	370	Reissue filing fee	
110	150	214	75	Provisional filing fee	
<b>SUBTOTAL (1)</b>					

#### 2. CLAIMS

Total Claims		Extra		below		Fee Due
161	- 20 =	141	X	\$9.00		\$1,269.00
12	- 3 =	9	X	\$42.00		\$ 378.00
Multiple Dependent Claims			X	0		0

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Due
103	18	203	9	Claims in excess of 20	
102	84	202	42	Independent Claims in excess of 3	
104	280	204	140	Multiple Dependent Claim	
109	84	209	42	Reissue independent claims over original patent	
110	18	210	9	Reissue claims in excess of and over original patent	
<b>SUBTOTAL (2)</b>					\$1,647.00

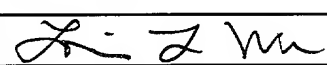
### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Due
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	180	Submissions of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR 1.129(b))	
Other fee (specify)					
Other fee (specify)					
<b>*Reduced by Basic Filing Fee Paid</b>					
<b>SUBTOTAL (3)</b>					\$

### SUBMITTED BY

Typed or Printed Name: **Louis L. Wu**

Signature: 

Date: **1/30/2002**

### Complete (if applicable)

Reg. Number: **44,413**

Deposit Account: